



Special Attention of:

Headquarters Records Management Liaison Officers
Field Office Records Management Liaison Officers

Transmittal for Handbook No: 2225.6 REV-1
CHG -63

Issued: November 4, 2005

1. This transmits Change 63 of Handbook 2225.6, REV-1 CHG-63, Records Disposition Schedules, Schedule 3, Administrative Records.

2. Summary:

Items 71 and 72 are being deleted from the handbook because these systems no longer exists.

3. Filing Instructions:

Remove:

Appendix 3, page 2
dated 10/88

Appendix 3, CHG-44
page 60, dated 8/01

Appendix 3, page 61
dated 10/88

Appendix 3, page 62
dated 10/88

Appendix 3, page 63
dated 10/88

Appendix 3, page 64
dated 10/88

Insert:

Appendix 3, page 2
dated 11/05

Appendix 3, CHG-63
page 60, dated 11/05

Appendix 3, CHG-63
page 61, dated 11/05

Appendix 3, CHG-63
page 62, dated 11/05

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page 63, dated 11/05

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page 64, dated 11/05

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page 65, dated 11/05

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page 66, dated 11/05

Appendix 3, CHG-63
page 67, dated 11/05

Appendix 3, CHG-63
page 68, dated 11/05

**Appendix 3, CHG-63
page 69, dated 11/05**

**Appendix 3, CHG-63
page 70, dated 11/05**

RECORDS DISPOSITION SCHEDULE 3

ADMINISTRATIVE RECORDS

This schedule provides disposition instructions for those records relating to the administrative functions of the Department. The administrative functions covered include budget, management and organization analysis, financial systems and accounting operations, personnel management and administration, data and statistical analysis, general administrative services, procurement and contracting services and general automatic data processing (ADP) records. Records of specific ADP systems are covered in the functional records disposition schedule to which the system relates.

This schedule covers administrative records described above regardless of what office maintains the records; i.e., it covers Regional and Field Office records as well as Headquarters records and covers administrative records kept in program offices as well as those kept in administrative offices. This schedule also covers administrative records of HUD's predecessor agencies. The records of the immediate office of the Assistant Secretary for Administration are also covered.

Since this schedule is comprehensive for Departmental records relating to administrative functions, the schedule items have been grouped by function under a subheading. The following index shows the item numbers included under each functional subheading and gives the page number where that group of items begins:

<u>Function:</u>	<u>Includes Items:</u>	<u>Begins on Page:</u>
General Office Files	1 thru 8	2
Personnel, Payroll, Leave	9 thru 15	5
Contracts, Grants, Supplies	16 thru 19	11
Property Disposal	20 and 21	14
Budget	22 thru 26	15
Financial Accounting	27	19
Stores, Plant and Cost Accounting	28 thru 30	19
Travel and Transportation	31	21
Motor Vehicle Maintenance and Operation	32	22
Space and Maintenance	33	22
Communications	34	22
Printing, Binding, Duplication and Distribution	35 thru 37	22
Informational Services	38 thru 40	24
Planning, Management and Evaluation	41 thru 59	25
Paperwork Management	60 thru 66	45
Security and Protective Services	67 thru 69	55

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<u>Function:</u>	<u>Includes Items:</u>	<u>Begins on Page:</u>
Audiovisual	70	56
RESERVED	71&72	
Automatic Data Processing	73 thru 76	59
Claims Collection	77 and 78	61
Inspector General Records	79-1 thru 84	62

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
<u>General Office Files</u>		
1.	Administrative subject correspondence files. Consist of incoming and outgoing correspondence with other related records concerning routine administrative functions and housekeeping activities. Do not include program subject files since these are or will be covered in the related program schedules.	Break files annually. Destroy 3 years after file break or when no longer needed for reference, whichever is earlier. (NARA Job NC1-207-80-5, item 1)
2.	Correspondence chronological or reading files. Consist of extra (nonrecord) copies of outgoing correspondence originated in the office solely as a reference or reading file for the convenience of office personnel.	Break file annually. Destroy 3 years after file break or when no longer needed for reference, whichever is earlier. (NARA Job NC1-207-80-5, item 2)
3.	Suspense or tickler files. Consist of nonrecord extra copies of documents set aside to assure action by a specific date and other cards, notes or papers used as reminders that an action is required.	Destroy 1 year after action is taken or reply is received or destroy when no longer needed for reference, whichever is earlier. (NARA Job NC1-207-80-5, item 3)
4.	Transitory files. Consist of papers of short-term interest which have no value as documentation or evidence. Include routine requests for information or publications and the replies;	Destroy when 1 year old. (NARA Job NC1-207-80-5, item 4)

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Item No.	Description of Records	Disposition
	b) Routine Still Photographs. Includes still photographic prints, negatives, contact sheet, slides, transparencies, and filmstrips (or copies of these images in analog or digital form) of routine award ceremonies, social events, and activities not related to HUD's mission; official portraits of non-senior level HUD officials; personnel identification; internal personnel and administrative training filmstrips and slide programs that do not reflect HUD's mission; and duplicates exceeding preservation needs. Apply to Headquarters, State and Field Offices.	Temporary. Use General Records Schedule 21, items 1, 2, 3, and 4.

71. RESERVED

72. RESERVED.

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Item No.	Description of Records	Disposition
73.	Automatic Data Processing (ADP) records. Also called machine-readable records. Includes the related documentation required to service them.	
	a. Records relating to management of the automatic data processing function itself.	Use items 74 through 76 of this schedule in place of General Records Schedule 20.
	b. Records relating to a specific ADP system.	Use the functional HUD Records Disposition Schedule to which the ADP system relates and the appropriate item covering that system. (NARA Job NC1-207-80-5, item 73b)
74.	HUD Inventory of Automated Systems files. The HUD Inventory of Automated Systems is a publication which lists HUD automated systems which are operational, under development or planned. It is produced annually and reflects system status as of the last day of the Fiscal Year. Files include interim updates.	
	a. Working files kept by the office which prepares the Inventory.	Destroy when one year old. (NARA NC1-207-80-5, item 74a)
	b. Copies of printed Inventory.	Destroy when superseded, obsolete or no longer needed for reference. (NARA Job NC1-207-80-5, item 74b)

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Item No.	Description of Records	Disposition
75.	Master set of documents used in requesting new ADP systems or new reports from existing systems. Consists of Advanced Requirements Notice (ARN), Evaluation of Proposal (EOP), and System Requirement Specification (SRS). The ARN and SRS are prepared by the user.	Destroy when 10 years old. (NARA Job NC1-207-80-5, Item 75)

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	The EOP is prepared by the Office of Information Policies and Systems. Copies of the ARN, EOP and SRS are also part of the documentation files for each operational system. However, this master set also contains documents on disapproved user requests.	
76.	Computer usage accounting records. Consist of records on how much computer time was used for each program and administrative area user.	Destroy when 5 years old. (NARA Job NCI-207-80-5, item 76)
<u>Claims Collection</u>		
77.	Claims collection case files. Consist of records relating to the collection of claims of the United States for money or property arising from Departmental activities. Kept by claims collection officers or the Departmental Claims Officer.	Place in inactive file when administrative collection action on claim is completed. Retire to Federal Records Center 2 years after administrative collection action on claim is completed or when volume warrants. Destroy 7 years after administrative collection action on claim is completed. (NARA Job NCI-207-80-5, item 77)
78.	Claims collection reports files. Consist of reports on claims collection activities in HUD. Consist of monthly reports prepared by Field and Headquarters claims collection officers and quarterly cumulative reports prepared by the Regional Office Claims Report Coordinators.	Destroy when 2 years old. (NARA Job NCI-207-80-5, item 78)

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
<u>Inspector General Records</u>		
*79-1.	Investigative, audit and related records created or kept by an OIG in performing its duties and responsibilities.	Use items 79 through 86 in place of General Records Schedule (GRS) 22. *
79.	Audit Case Files - Headquarters copies of the audit report issued in the Field and all related correspondence received in or generated by Headquarters.	
a.	Cycle Audits (External).	Destroy upon receipt of new audit case file. (NARA Job NCL-207-85-1, item 79a)
b.	Final and Request Audits (External).	Destroy 1 year after date of report. (NARA Job NCL-207-85-1, item 79b)
c.	Recurring Audits and all other audits (Internal).	Retain for 5 years after date of audit report. Retire to the Federal Records Center and destroy 8 years after date of audit. (NARA Job NCL-207-85-1, Item 79c)
*80.	GAO Audit Report Files. Audits of specific activities impacting upon HUD and its mission. Reports are arranged by Region and thereunder chronologically.	*

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Item No.	Description of Records	Disposition
*	a. Official Copy.	PERMANENT. Cut off annually. Retire to the Federal Records Center when 3 years old. Transfer to NARA when 10 years old. (NARA Job N1-207-91-2, item 2a)
	b. Background File. This file contains a copy of the draft, letter and published GAO reports and all inquiries and all material and correspondence relating to HUD's review, replies to the actions on GAO findings, and statements required by OMB Circular A-50.	Retire to Federal Records Center 3 years after all required actions have been taken, or when volume warrants. Destroy 6 years after all required actions have been taken. (NARA Job NCI-207-85-1, Item 80)
	c. Agency Reference Copies.	Destroy when no longer needed for agency use. (NARA Job N1-207-91-2, item 2b) *
81.	Investigation Case Files.	
	a. Files are set up by constituent organization within the Department of HUD, type of violation, and by number in consecutive order of receipt.	
*	(1) Headquarters.	
	(a) Record copy of case files of historic value.	PERMANENT. Retire to Federal Records Center 2 years after case is closed. Transfer to National Archives in five-year blocks when 20-25 years old or sooner if negotiated between the National Archives and HUD. *

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<u>Item</u> <u>No.</u>	<u>Description of Records</u>	<u>Disposition</u>
*		NOTE: Files of historic value will normally be selected by the HUD Office of Inspector General and will normally include files on all cases that: (i) attract national news media attention; (ii) result in Congressional investigation; or (iii) result in substantive changes to agency policies and procedures. (NARA Job NL-207-90-2, item a(1)a)
	(b) All other case files.	Retire to Federal Records Center 2 years after case is closed. Destroy 10 years after case is closed. Privacy Act System of Record HUD/OIG-1, published in the June 12, 1992, Federal Register (57 FR 25069). (NARA Job NL-207-90-2, item a(1)b)
	(c) Disposition report. Synopsis or brief report.	Microfilm Disposition Report or brief of report 2 years after case file is closed. Refile hard copy in case file after film is verified. Retain microfilm onsite. Destroy 10 years after case is closed. Privacy Act System of Record HUD/OIG-1. (NARA Job NCL-207-85-1, item 81a(1)(b))
	(2) Field Offices.	Destroy 1 year after case is closed. Privacy Act System of Record HUD/OIG-1. (NARA Job NCL-207-85-1, item 81a(2)) *

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	b. Bulky exhibits, consisting of originals or signed statements, documents, accounting work papers, and other evidence accumulated during an investigation.	When case is closed, review the bulky exhibits to determine which should be retained. Forward this to Headquarters for inclusion in main file. Return others to those who furnished the material to OIG. Destroy balance of files. Privacy Act System of Record HUD/OIG-1. (NARA Job NCI-207-85-1, item 81b) *
82.	General Subject Files. Program Records.	
	a. Headquarters.	Cut off files annually. Retire to Federal Records Center when 4 years old. Destroy when 10 years old. (NARA Job NCI-207-85-1, item 82a)
	b. Field Offices.	Review annually and destroy any material over 4 years old which has no more value. (NARA Job NCI-207-85-1, item 82b)
83.	Previous participation experience check. This is a request for information on individuals or firms who are making application to participate in programs of the Department.	Destroy when 1 year old. (NARA Job NCI-207-85-1, item 83)

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
* 84.	Monthly Reports of Investigations and Audits to the Secretary. Reports from the IG to the Secretary highlighting topics of current interest. Reports are arranged chronologically.	
	a. Official Copy.	PERMANENT. Cut off annually. Retire to Federal Records Center when 5 years old, or volume warrants. Transfer to NARA in 5 year blocks when 10 - 15 years old. (NARA Job NI-207-91-2, item 3a)
	b. All other copies.	Cut off annually. Retire to Federal Records Center when 5 years old, or volume warrants. Destroy when 8 years old. (NARA Job NI-207-91-2, item 3b)
85.	Semi-Annual Reports to Congress. Contains IG messages to Congress, overview of HUD actions, audits and investigations, and specific problem areas. Arranged chronologically.	
	a. Official Copy.	PERMANENT. Cut off annually. Retire to Federal Records Center when 3 years old, or volume warrants. Transfer to NARA in 5 year blocks when 10 - 15 years old. (NARA Job NI-207-91-2, item 1a)
	b. Agency Reference Copies.	Destroy when no longer needed for agency use. (NARA Job NI-207-91-2, item 1b) *

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
86.	<p>OIG Automated Systems. These include: OIG Audits and Management System (G04); OIG Audit and Investigative Support System (G01); OIG Planning and Operations System (G03); OIG Investigative Case Management System (G02); OIG Hotline Management System (G05); OIG Name Indices System (G07); and OIG Complaint Management System (G08).</p> <p>Seven files are kept for each system. The retention period for each kind of file is the same in each system.</p> <p>a. Documentation Files.</p> <p>b. Input Documents and Monthly Reports, maintained in Management Information Division Files.</p> <p>c. Quarter Ended and Fiscal Year Ended Reports, maintained in Management Information Division Files.</p> <p>d. Processing Files.</p> <p>e. Processing Files. Those machine-readable files (from work files and raw data input files to publication files and security backup files) which are used to create and use a master file.</p>	<p>(ADP systems G01 through G04 are covered by NARA Job NCI-207-84-1, items 18(1) through (7). ADP systems G05, G07 and G08 are covered by NARA Job NCI-207-85-1, items 84a through g.)</p> <p>Destroy 1 year after system is placed on inactive list.</p> <p>Maintain for 1 year; then destroy if no longer needed for reference.</p> <p>Maintain for 3 years; then destroy if no longer needed for reference.</p> <p>Scratch after third update cycle.</p> <p>Scratch after third update cycle.</p>

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<u>Item</u> <u>No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	f. Master Files. Constitute the definitive state of a data file in a system at a given time.	
	(1) When the system is operational.	Scratch after third update cycle.
	(2) When the system is deleted from the inventory of active systems.	Destroy 1 year after system is placed on inactive list.
	g. All other printings and output reports.	Destroy when superseded, obsolete, or no longer needed for reference.

NOTE: Use the appropriate functional HUD Records Disposition Schedule in place of General Records Schedules 15, 17, 19, and 22.